FEDERAL AUDIT CLEARINGHOUSE Version 1: 02/08/02

Internet Data Dissemination System (IDDS) FYE 2001

Instructions

FEDERAL AUDIT CLEARINGHOUSE

Internet Data Dissemination System (IDDS)

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Chapter 1

Important Notes for Using the Internet Data Dissemination System (IDDS)

Special Notes to aid the user in querying the Data Dissemination system as well as data management and interpretation.

The Internet Data Dissemination System (IDDS) allows users to search the Federal Audit Clearinghouse's entire database. The Federal Audit Clearinghouse database contains information obtained from OMB Circular A-133 Form SF-SAC submissions. The FAC uses an Oracle® relational database to store all data. IDDS system users may choose any type of database or spreadsheet application to manipulate datasets that have been obtained from the FAC online database. Many database users will find Microsoft® Access™ and Excel™ adequate for their use, however the FAC does not suggest any one database or spreadsheet software over another. Due to the widespread use of Microsoft® the FAC has chosen to use the Microsoft® Excel™ spreadsheet and Access™ database applications to provide the examples you see in this document.

The Internet Data Dissemination System Instructions are meant to provide you with some basic information about relational database principles and how to manipulate our database to obtain the information you seek. The instructions provided in this document are provided as a guideline and are not a substitute for relational database or spreadsheet training. The Federal Audit Clearinghouse strongly suggests that anyone who regularly uses databases, take a comprehensive relational database management, data mining and/or data warehousing class.

Order of Steps

1. **Query IDDS.** First query the Internet Data Dissemination System (IDDS) online. **http://harvester.census.gov/sac**. You may query using the following methods:
    a. Status of Submissions
    b. Entity Simple Search
    c. Entity Advanced Search
    d. CFDA Simple Search
    e. CFDA Advanced Search
    f. Download the entire database to search offline.
2. **View**. You may view your dataset online or
3. **Save.** After querying the IDDS you can save your dataset to view offline.
4. **Import**. Import your saved dataset into a spreadsheet or database program.
5. **Sort/Query Dataset.** Use a spreadsheet or database program to sort and perform additional queries on your dataset.
6. **Reports.** Create internal reports based on your specific query results.

Database Concepts

Relational Database: A relational database is a collection of information organized into interrelated tables of data and specifications of data objects.

Table: A table in a relational database is a predefined format of rows and columns that define an entity.

Attribute: A single data item related to a database object. The database schema associates one or more attributes with each database entity.

field, column

Example: In the following database table, the attributes are <name, ID, extension>

Name	ID	Extension
Jim	124	7075
Valerie	128	0853
Bob	192	4214

Row: In a relational database, a row consists of one set of attributes (or one tuple) corresponding to one instance of the entity that a table schema describes.

Primary Key: The primary key of a relational table uniquely identifies each record (row) in the table. It can either be a normal attribute that is guaranteed to be unique or it can be generated by the DBMS (Database Management System).

Foreign Key: A foreign key is a field in a relational table that matches the primary key column of another table. The foreign key can be used to cross-reference tables.

Database Key (DBKEY): A database key is an attribute utilized to sort and/or identify data in some manner. Each table has a primary key, which uniquely identifies records. Foreign keys are utilized to cross-reference data between relational tables.

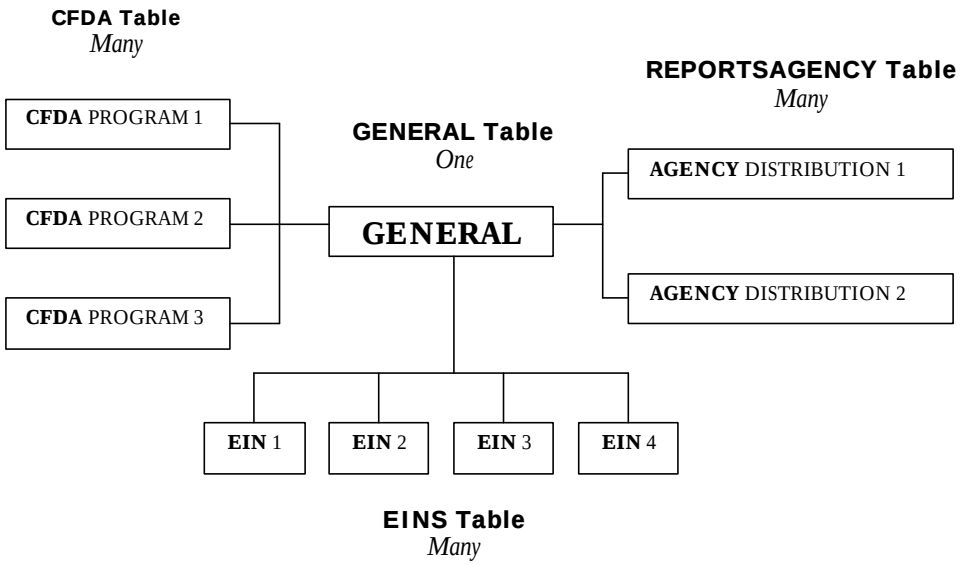
Many-to-One Relationships: In this kind of relationship one of the entities in one table can be related many times to another entity in another table. (See schema below.)

The Federal Audit Clearinghouse Database

The Federal Audit Clearinghouse database is made up of four tables. Each table can be linked to another table in a database program through a combination of columns in each table. The FAC uses a combination of both the AUDITYEAR and DBKEY columns to create the primary key for each table.

The FAC tables are as follows:

Table Name	Reference to Form SF-SAC
GENERAL	(Part I Items 1-5b & 6-9, Part II Items 1-5, Part III Items 1-8, Total Federal Awards Expended)
CFDA	(Part III Items 10-11)
REPORTSAGENCY	(Part III Item 9)
EINS	(Part I Item 5c)



GENERAL File:

- Audit Year
- DBKEY
- Type of Entity
- FY End Date
- Audit Type
- Period Covered
- Number of Months
- Multiple EINs
- EIN
- Auditee Name
- Street 1
- Street 2
- City
- State
- Zip Code
- Auditee Contact Name
- Auditee Contact Title
- Auditee Phone
- Auditee Fax
- Auditee E-Mail
- Auditee Date Signed
- Auditee Name Title (Certifying Official)
- CPA Firm name
- CPA Street 1
- CPA Street 2
- CPA City
- CPA State
- CPA Zip Code
- CPA Contact
- CPA Contact Title
- CPA Phone
- CPA Fax
- CPA E-Mail
- CPA Date Signed
- Cog_Over
- Cog/Over Agency
- Type Report FS(Financial Statements)
- Reportable Condition
- Material Weakness
- Material Noncompliance
- Going Concern
- Type Report MP (Major Program)
- Duplicate Reports
- Dollar Threshold
- Low Risk
- Reportable Condition MP (Major Program)
- Material Weakness MP (Major Program)
- Questioned Costs
- Prior Audit Findings
- Total Federal Awards Expended
- Date Completed (Date Disseminated to the Internet)

CFDA File:

- Audit Year
- DBKEY
- CFDA
- Research & Development
- Federal Program Name
- Amount
- Direct Award
- Major Program
- Type of Compliance Requirement
- Finding Reference Numbers

REPORTSAGENY File:

- Audit Year
- DBKEY
- Agency CFDA

EIN File:

Audit Year
DBKEY
EIN Sequence Number
EIN

Incomplete File (Status of Submissions):

Audit Year
EIN
Auditee Name
Street 1
Street 2
City
State
Zip Code
Cog/Over Agency
Total Federal Awards Expended
Date Received (Date of last item received.)

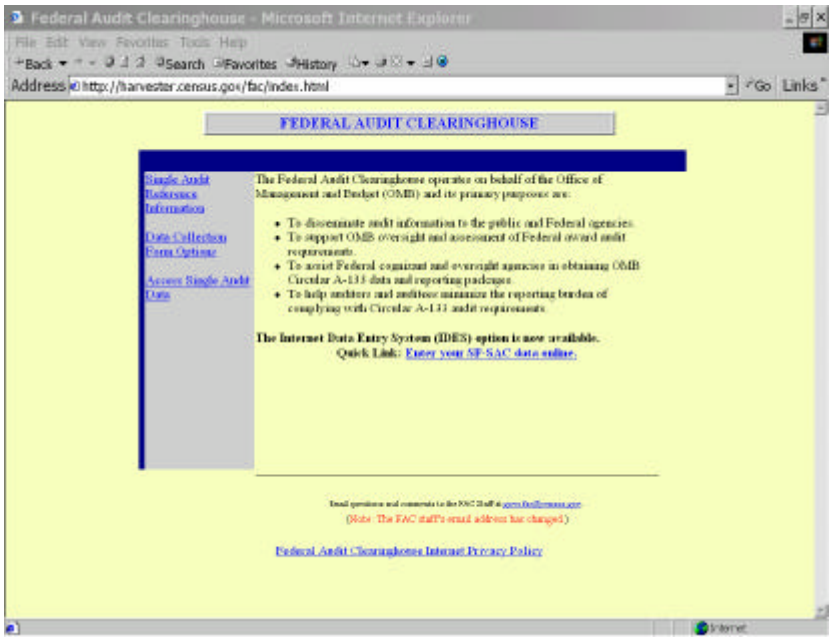
Chapter 2

Accessing the Federal Audit Clearinghouse Database

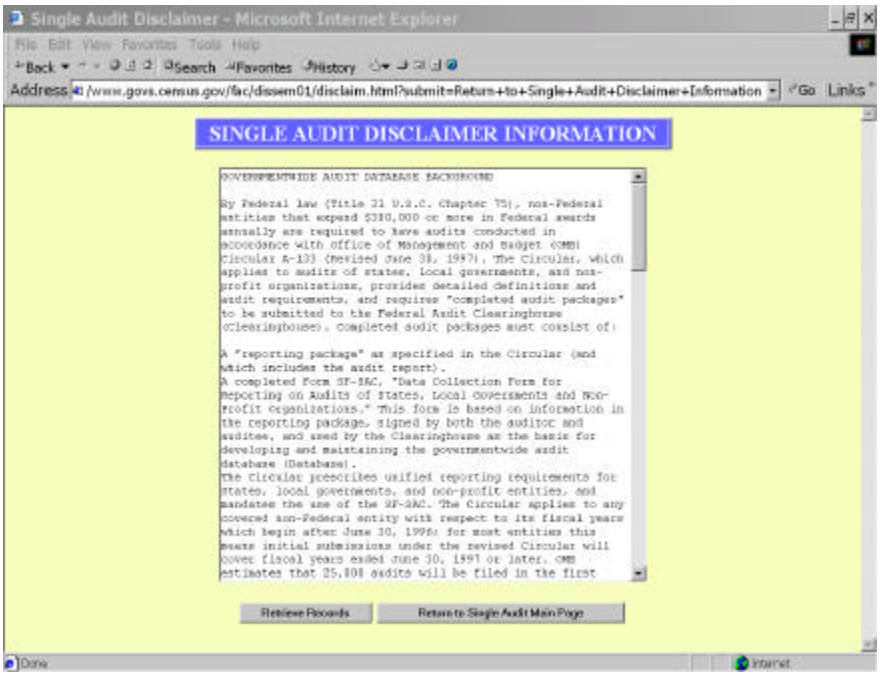
The Federal Audit Clearinghouse database can be accessed from the Internet. Follow these examples to access the FAC database.

The Internet Data Dissemination System (IDDS) is located at the following web address: http://harvester.census.gov/sac. To access the database, type the above address in your browser's address bar and click Go or press Enter.

From the FAC home page, choose the third link called **Access Single Audit Data**.

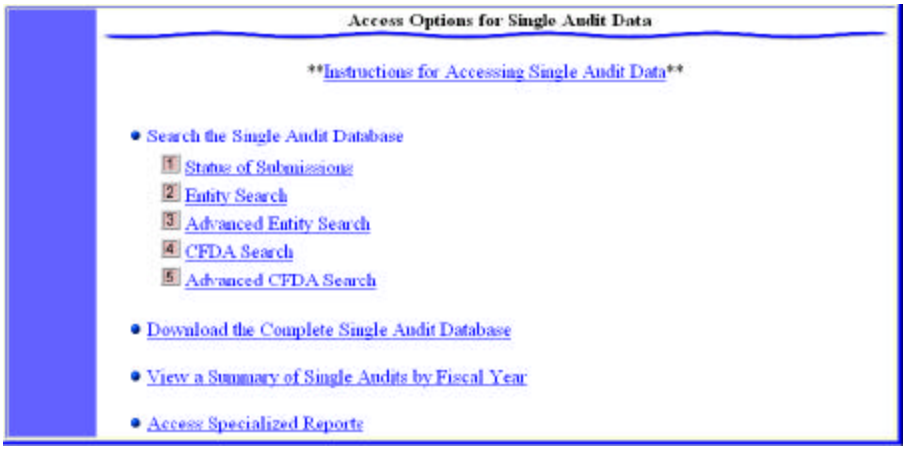


Next, on the **Single Audit Disclaimer Information** page, click on the Retrieve Records button to continue to the query options page. The Disclaimer on this page discusses the role of the Federal Audit Clearinghouse with regard to The Office of Management and Budget Circular A-133, as well as the nature of the data the FAC collects, stores and distributes through this system.



Next, select the type of query you want to perform.

Types of Queries you may perform:



From the **Access Options for Single Audit Data** page there are several query choices.

1. **Status of Submissions:** Check to see where an audit stands in the FAC processing system.
2. **Entity Simple Search:** Search for a list of Entities based on EIN, Name or State criteria.
3. **Entity Advanced Search:** Search for a list of Entities based on any criteria from the Form SF-SAC.
4. **CFDA Simple Search:** Search for a list of Form SF-SAC Page 3 Federal Program lines based on EIN, Name or State criteria.
5. **CFDA Advanced Search:** Search for a list of Form SF-SAC Page 3 Federal Program lines based on any criteria from the Form SF-SAC.

- **Download the complete database:** Download the Entire database to search offline.
- **View a Summary of Single Audits by Fiscal Year.**
- **Access Specialized Reports.**

Chapter

3

Querying the Online Database

There are several ways to query the Internet Data Dissemination System. See the following examples to choose a way that is best for you.

The Internet Data Dissemination System (IDDS) provides several search options. Your specific search criteria will determine which search method is best for you. For instance, if you wanted to find all entities in a particular state, then the "Entity Simple Search" would be sufficient. However, if you needed to scale down your results set to only those entities who had program lines on their Form SF-SAC for a specific CFDA number, in a certain state, then you will need to query using the "Entity Advanced Search" method.

Important information regarding queries:

1. The FAC database contains all the data from each submitted Form SF-SAC. It is a good idea to become familiar with the Form SF-SAC questions before searching.
2. Adding more criteria to your search will result in fewer records returned.
3. Be broad with name string queries. For instance a query on the name "New York Board of Education" will not return an entity named "New York School Board". It may be better to query on the name "New York" instead.

Status of Submissions, Entity Simple Search, CFDA Simple Search Queries

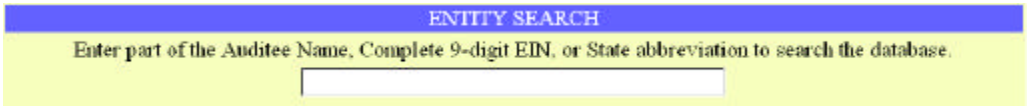
The **Status of Submission** query allows users to find out where a submitted Form stands in the processing system. The search is based on the respondent's EIN, Name or State.

The **Entity Simple Search** query allows users to search for a list of respondent submissions using their EIN, Name or State.

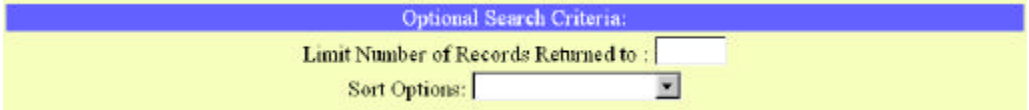
The **CFDA Simple Search** query allows users to search for a list of Federal Program data based on the respondent's EIN, Name or State.

From the **Access Options for Single Audit Data** page, click on one of the following links, 1 Status of Submissions or 2 Entity Search or 4 CFDA Search .

1. Type any of the following criteria:
   - 9-Digit EIN (no dashes, spaces, etc.), or
   - Auditee Name, or
   - State. Search Tip: If you enter the state name, i.e., Maryland, the system will search on all auditee submissions within the state. If you wish to search for all auditees with "Maryland" in the name, type the State name followed by a space.

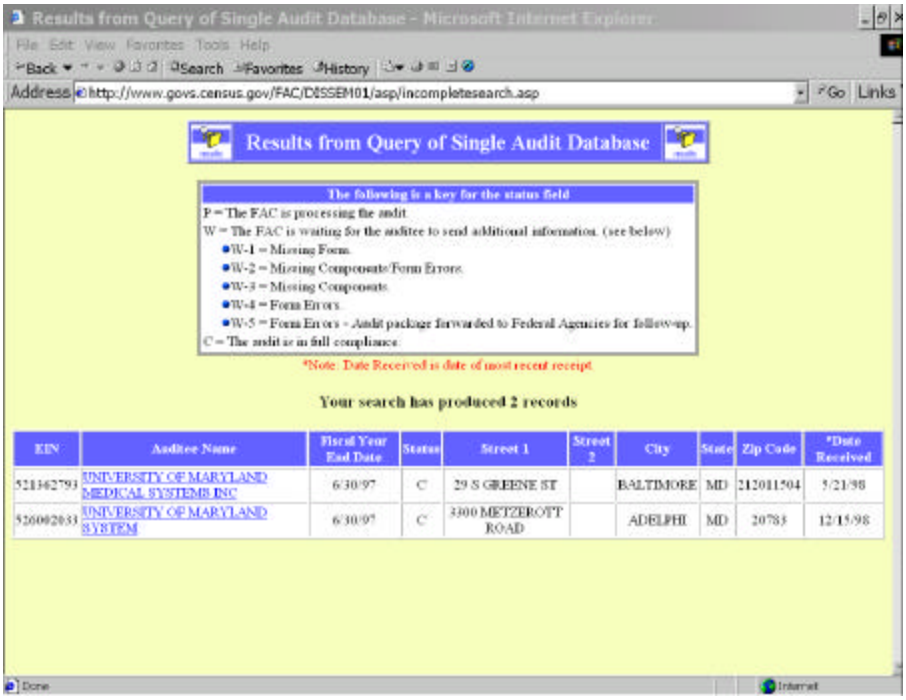


2. Optional:
   a. Limit Number of Records to: You may choose to limit the number of records returned. A Maximum of 499 records can be viewed online. If more then 499 records return from the search, the download option will be offered.
   b. Sort Options: You may choose to sort your result set by the following fields:
      - Auditee Name
      - EIN
      - Fiscal Year End Date
      - State



3. Click on the
   - **View Results** of Audit Status Search or
   - **Download Results** of Audit Status Search.

If you choose to View Results of Audit Status Search, the list of results from 1-499 records will be posted online. When a search returns 500+ records the download option is automatically offered.

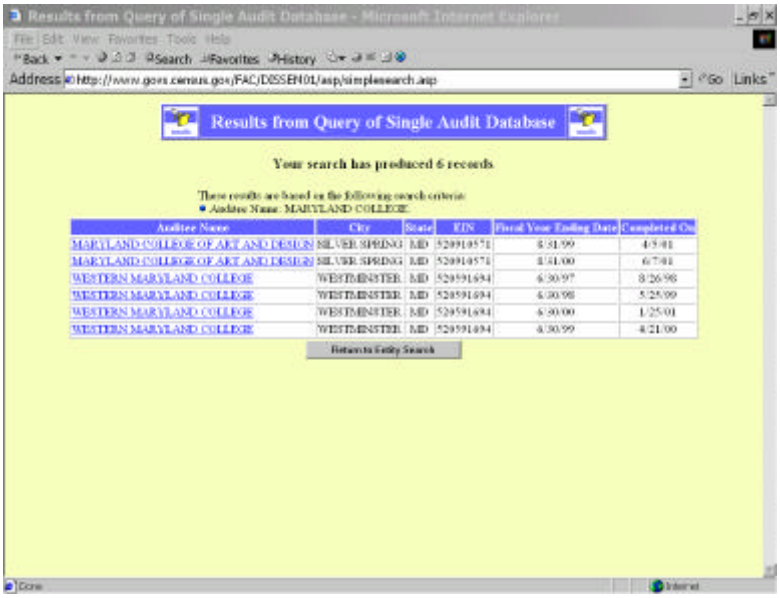


From the above screen you will be able to link to the Form SF-SAC for each auditee who has a Form status of "C" (C = The audit is in full compliance). To link to a form click on the Auditee Name highlighted in blue.

In addition the following fields are returned on the screen:

EIN, Auditee Name, Fiscal Year End Date, Status, Street 1, Street 2, City, State, Zip Code and Date Received.

If you choose to **View Results** from the Entity Simple Search, the list of results from 1-499 records will be posted online. When a search returns 500+ records the download option is automatically offered.



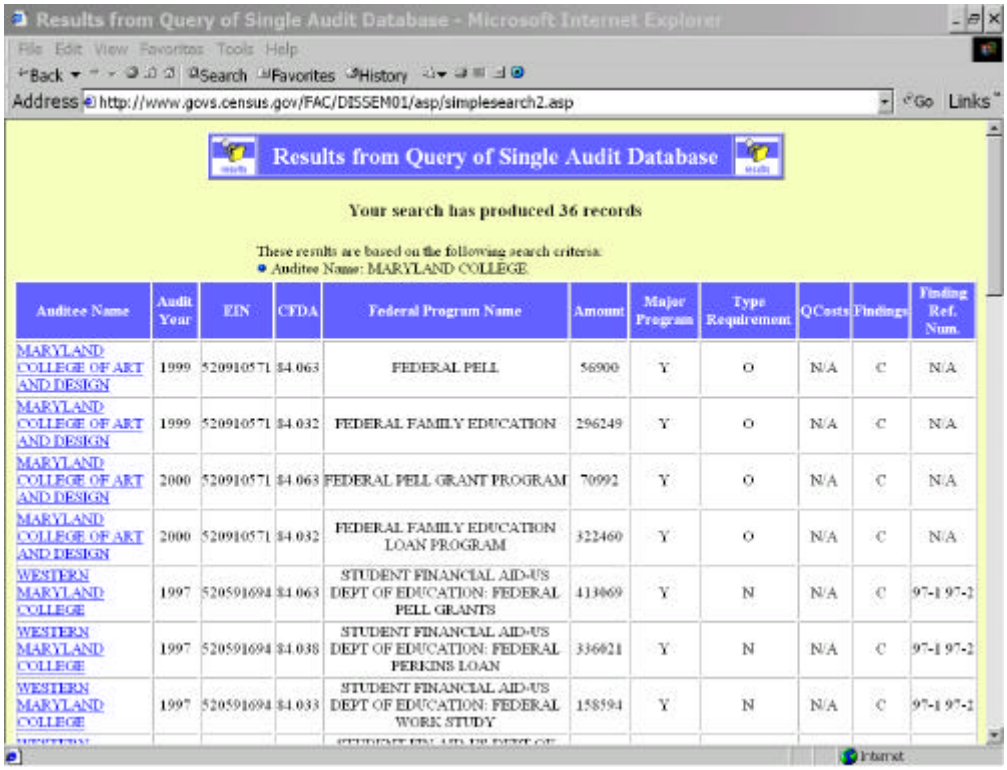
From the above screen you will be able to link to the Form SF-SAC for each auditee. To link to a form click on the Auditee Name highlighted in blue.

In addition the following fields are returned on the screen:

Auditee Name, City, State, EIN, Fiscal Year End Date and Completed On* date.

* The Completed On date represents the date the audit was posted to the Internet Data Dissemination System, usually 1-2 days after the actual processing completion date.

If you choose to **View Results** from the CFDA Simple Search, the list of results from 1-499 records will be posted online. When a search returns 500+ records the download option is automatically offered.



Auditee Name	Audit Year	EIN	CFDA	Federal Program Name	Amount	Major Program	Type Requirement	QCosts	Findings	Finding Ref. Num.
MARYLAND COLLEGE OF ART AND DESIGN	1999	520910571	84.063	FEDERAL PELL	56900	Y	O	N/A	C	N/A
MARYLAND COLLEGE OF ART AND DESIGN	1999	520910571	84.032	FEDERAL FAMILY EDUCATION	296249	Y	O	N/A	C	N/A
MARYLAND COLLEGE OF ART AND DESIGN	2000	520910571	84.063	FEDERAL PELL GRANT PROGRAM	70992	Y	O	N/A	C	N/A
MARYLAND COLLEGE OF ART AND DESIGN	2000	520910571	84.032	FEDERAL FAMILY EDUCATION LOAN PROGRAM	322460	Y	O	N/A	C	N/A
WESTERN MARYLAND COLLEGE	1997	520591694	84.063	STUDENT FINANCIAL AID-US DEPT OF EDUCATION: FEDERAL PELL GRANTS	413869	Y	N	N/A	C	97-1 97-2
WESTERN MARYLAND COLLEGE	1997	520591694	84.038	STUDENT FINANCIAL AID-US DEPT OF EDUCATION: FEDERAL PERKINS LOAN	336021	Y	N	N/A	C	97-1 97-2
WESTERN MARYLAND COLLEGE	1997	520591694	84.033	STUDENT FINANCIAL AID-US DEPT OF EDUCATION: FEDERAL WORK STUDY	158594	Y	N	N/A	C	97-1 97-2

From the above screen you will be able to link to the Form SF-SAC for each auditee. To link to a form click on the Auditee Name highlighted in blue.

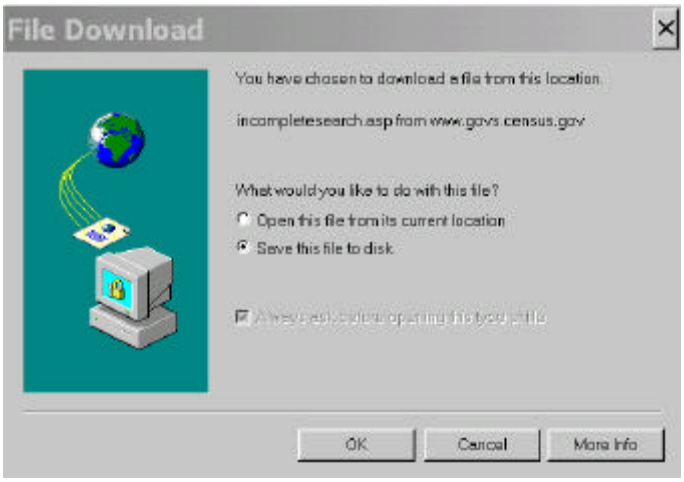
In addition the following fields are returned on the screen:

Auditee Name, Audit Year, EIN, CFDA, Federal Program Name, Amount, Major Program, Type Requirement, Finding Reference Numbers.

If you have chosen Download Results of Audit Search, depending on your Internet browser, you may receive the following download window.

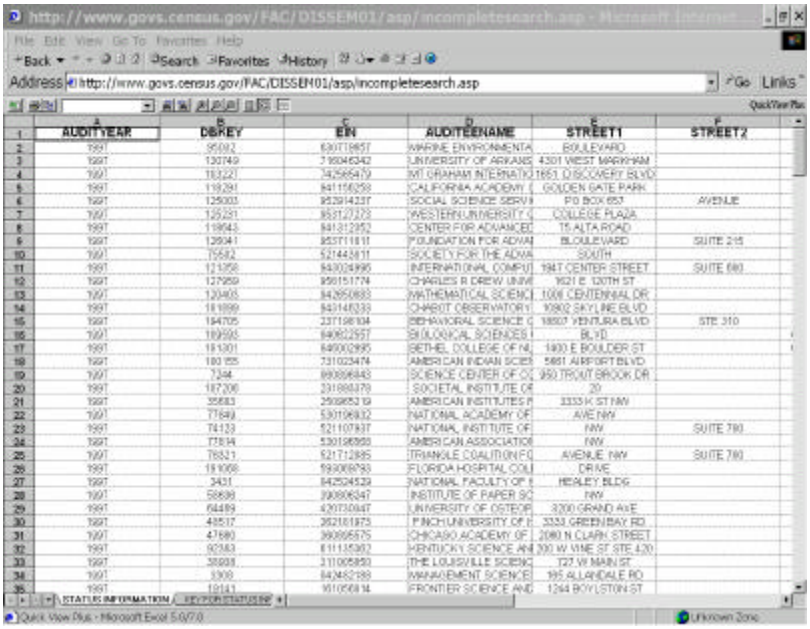
You may either select:

- Open this file from its current location. Doing this will open the file in an online Excel™ spreadsheet.
- Save this file to disk. Use this option if you are ready to import the data into Excel™ or Access™, offline.



Open this file from its current location:

If you have chosen to Open the file from it's current location you will receive the following online Excel™ spreadsheet. Each downloaded (online/offline) file contains multiple sheets.



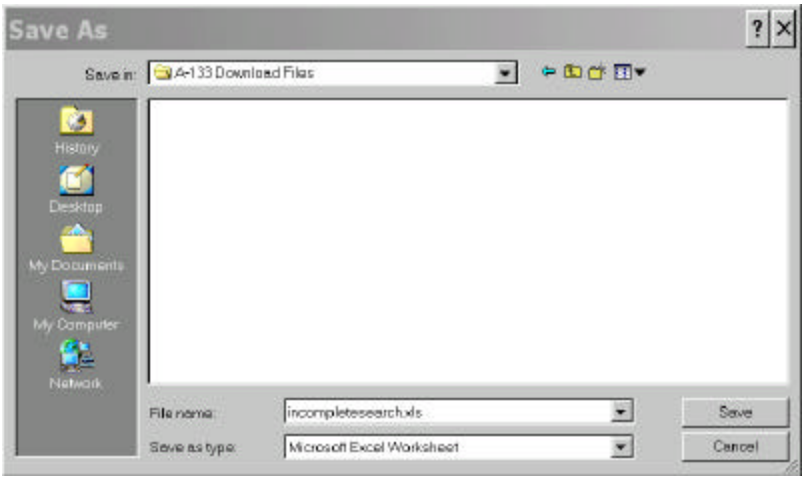
To save opened data to view offline.

1. Click on the Excel™ icon found on the Excel™ viewer window.
2. Save the file by choosing an appropriate file on your hard drive or diskette and choose a name you will recognize, followed by .xls.

   Example: mysimplesearch**.xls**
3. Click the Save button.
4. After you click the save button, the data will be saved and opened in the standard (offline) Excel™ spreadsheet.
5. This file will be available for viewing in Excel™ or Importing into Access™.

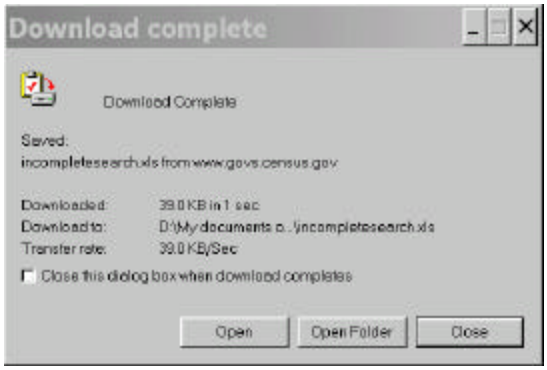
Save this file to disk:

If you have chosen to Save this file to disk the following Save As window will open:



1. In the **Save in:** box, locate the file on your hard drive or diskette where you would like to save the dataset.
2. Change the **File name:** to a name you will recognize later when you are searching for your dataset.
3. Be sure that the **Microsoft® Excel™ Worksheet** file type appears in the **Save as type:** box.
4. Click the **Save** button.

After the Save routine has finished, the following window may open. Click **Open** if you would like to view the dataset in Excel™ immediately or **Close** to view the file later.


Download complete
Download Complete
Saved:
incompletesearch.xls from www.govs.census.gov
Downloaded:
39.0 KB in 1 sec
Download to:
D:\My documents o...\incompletesearch.xls
Transfer rate:
39.0 KB/Sec
Close this dialog box when download completes
Open
Open Folder
Close

ADVANCED SEARCHES: ENTITY AND CFDA

The Entity Advanced Search query allows users to search for a list of respondent submissions using any criteria from the Form SF-SAC.

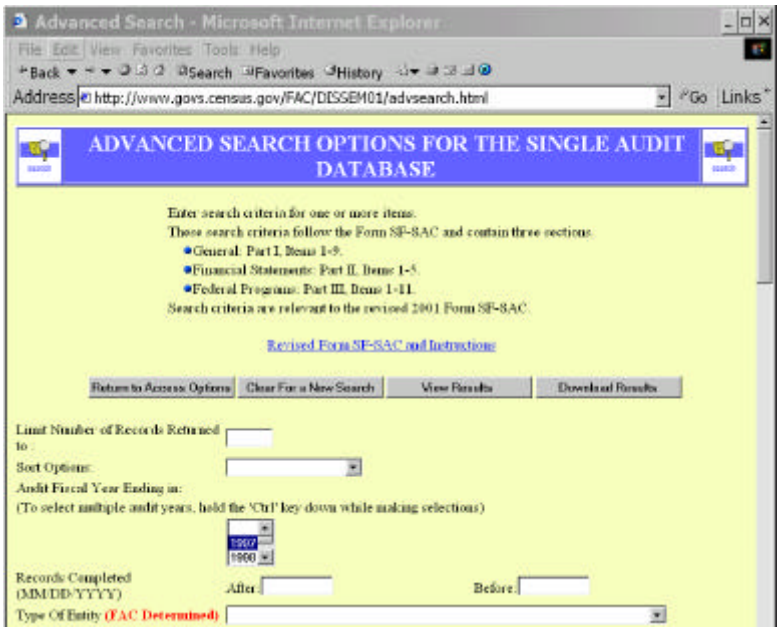
The CFDA Advanced Search query allows users to search for a list of Federal Program data based on any criteria listed on the Form SF-SAC.

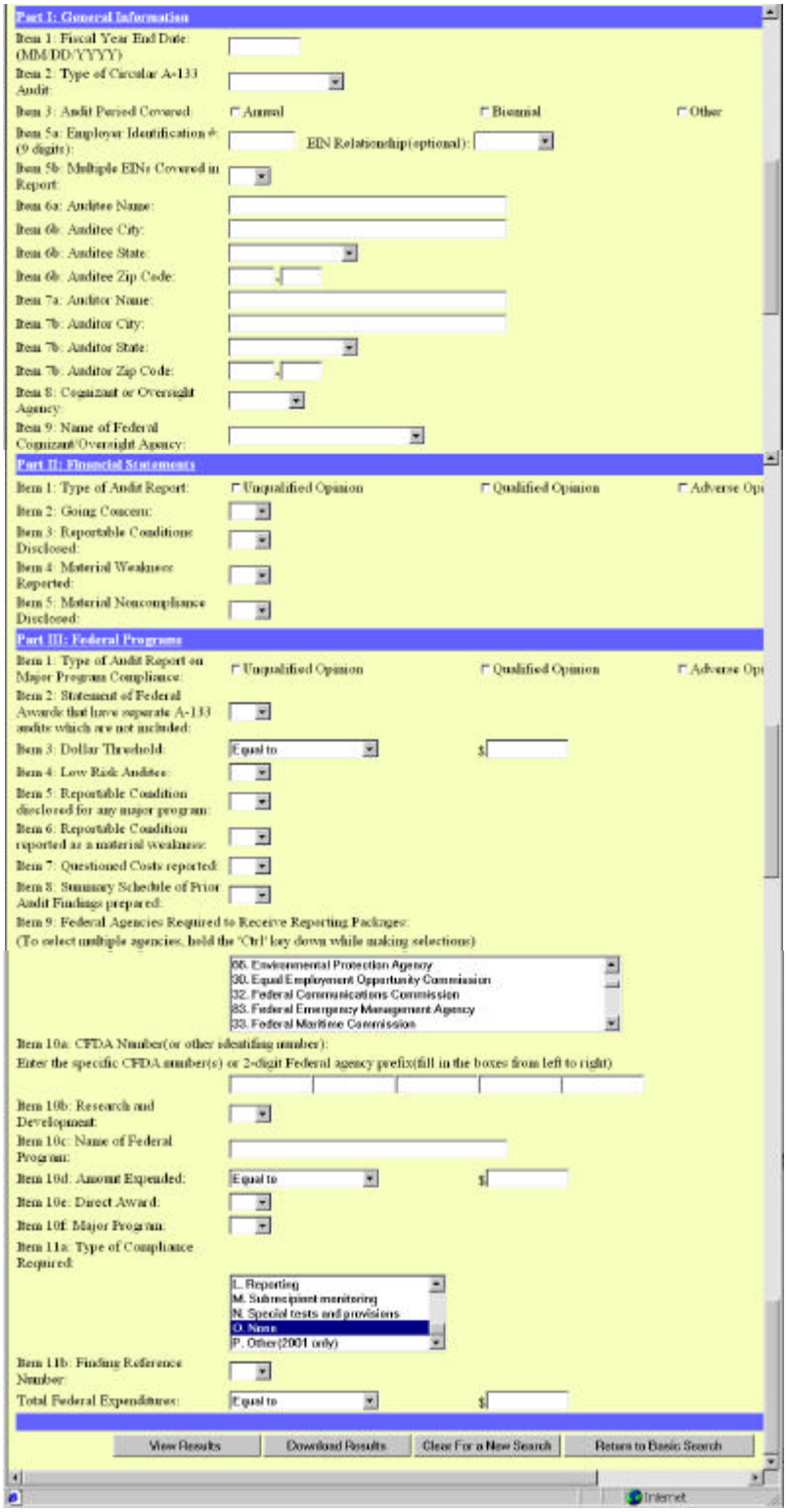
From the Access Options for Single Audit Data page, click on one of the following links, 3 Advanced Entity Search or 5 Advanced CFDA Search .

Choosing the Advanced Entity or CFDA search options will route you to the following search screen, which contains query boxes related to the Form SF-SAC.

Search Tip:

Less vs. More: Choosing more search criteria will limit the number of records returned. It is possible to miss valuable information when being too specific. For instance, a query on the name "New York Board of Education" will not return any information for an entity named "New York School Board". It may be better to query on a less specific name, such as "New York".





After selecting the various criteria desired, click the **View Results (see previous section)** or **Download Results (see previous section)** button to run your query and view the results. If your query results in more then 499 records then you must use the

download option (automatically offered for query results 500+). To clear search criteria click the **Clear for New Search** button and to return to the search options click the **Return to Access Options** button.

Chapter

4

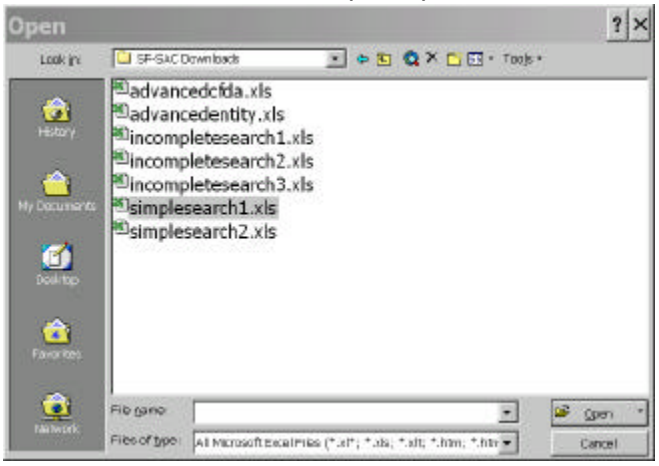
Importing Data into a Spreadsheet or Database

The following chapter describes the basic procedure of importing a saved dataset into a spreadsheet or database application.

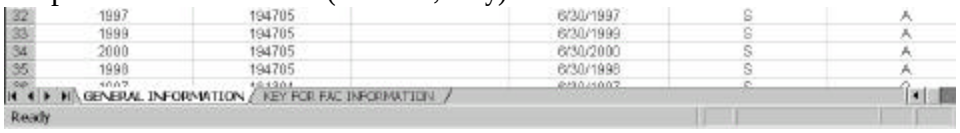
For the purposes of these instructions, the Federal Audit Clearinghouse has chosen to use Microsoft® Excel™ for the data import examples. If you have chosen to save the dataset on your hard drive or diskette, follow these instructions to open and view the file.

MICROSOFT® EXCEL™

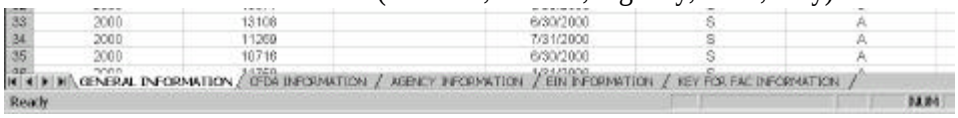
1. Open the Microsoft® Excel™ program.
2. Choose File/Open from the menu bar.
3. Locate the file on your hard drive or diskette. Make sure the Files of type: is set for Microsoft® Excel™ (*.xls).



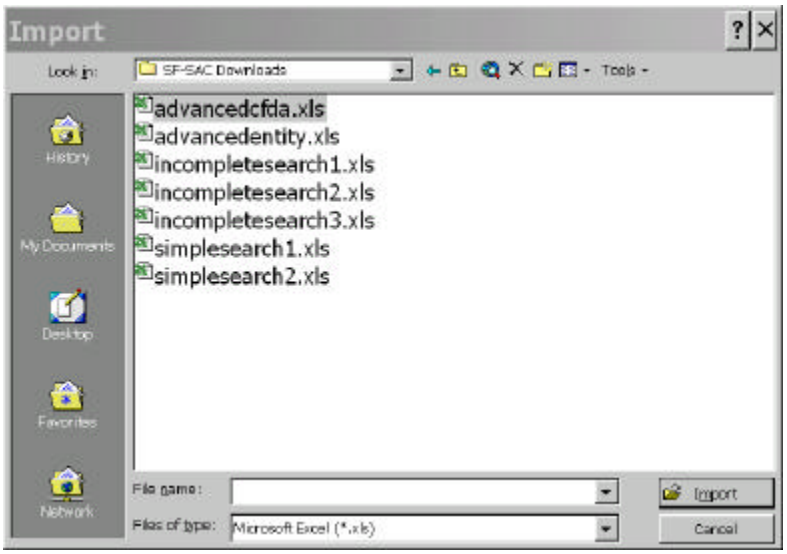
4. Then click the Open button.
5. The file should open without the aid of the Excel™ Import Wizard.
6. Please be sure to look at the worksheet tabs to obtain all the information.
   Simple search worksheets (General, Key):



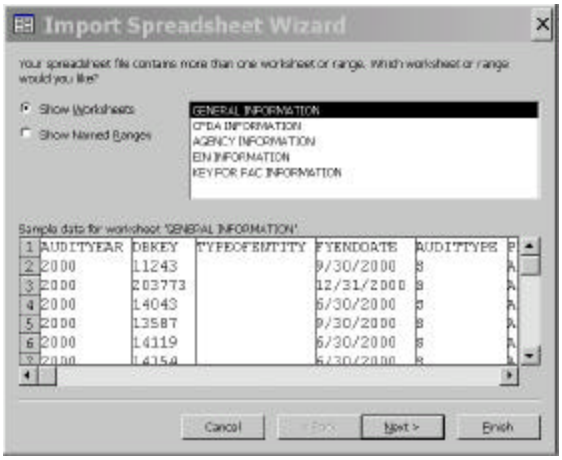
   Advanced Search Worksheets (General, CFDA, Agency, EIN, Key):



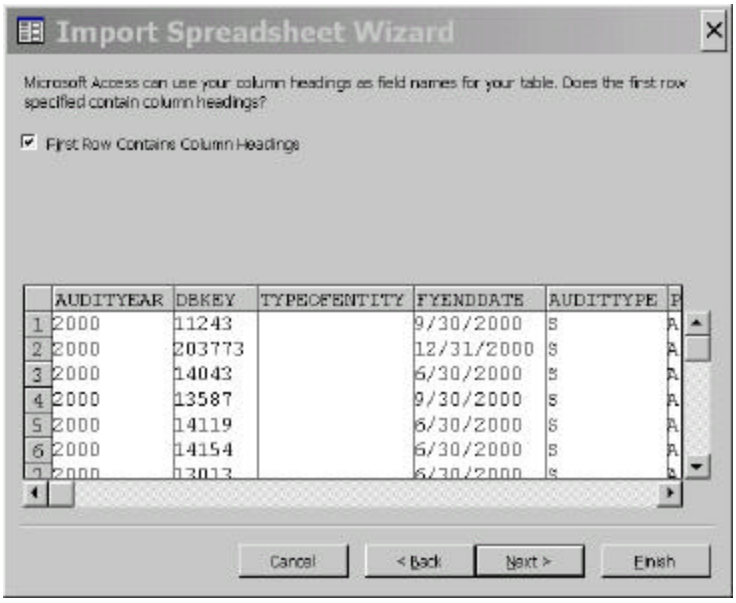
1. Open the Microsoft® Access™ application.
2. Create a new database or open an existing database.
3. From the File menu, select Get External Data, and then choose Import.
4. Locate the file in the appropriate folder on your hard drive or diskette. If needed, change the Files of type: to Microsoft® Excel™ (*.xls).



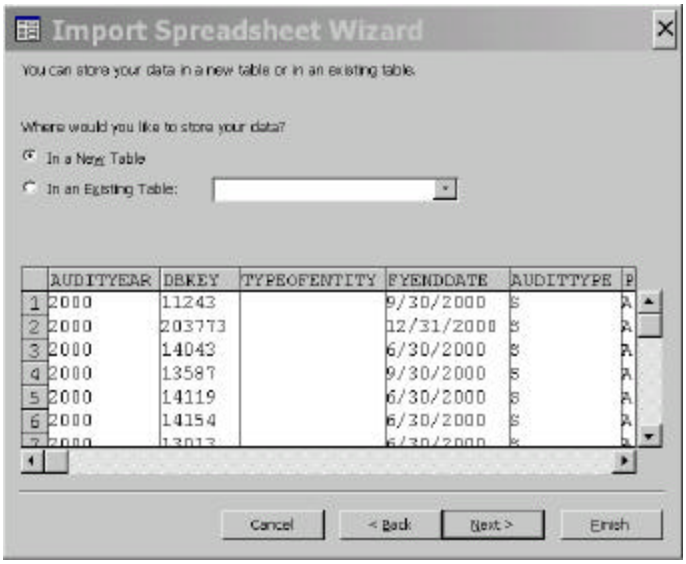
5. Click the Import button.
6. Make sure the Show Worksheets radio button is selected.
7. Each worksheet of the Excel™ spreadsheet must be imported separately. For *Simple* searches only one import for the GENERAL INFORMATION data will need to be performed. However, the files obtained from *Advanced* searches will require 4 separate imports;
    1. GENERAL INFORMATION
    2. CFDA INFORMATION
    3. AGENCY INFORMATION
    4. EIN INFORMATION



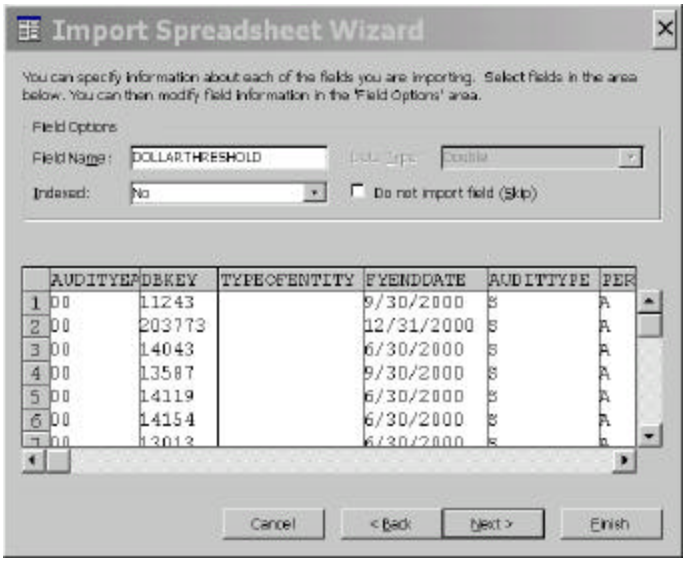
8. After choosing the worksheet to be imported, click the Next button.
9. Check the First Row Contains Column Headings box, and then click the Next button.



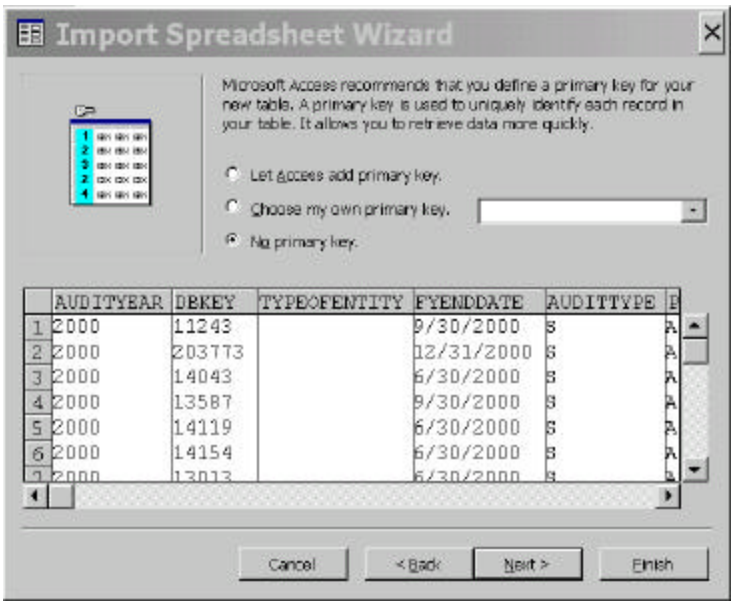
10. To store the data in a new table select the In a New Table radio button. Then click the Next button.



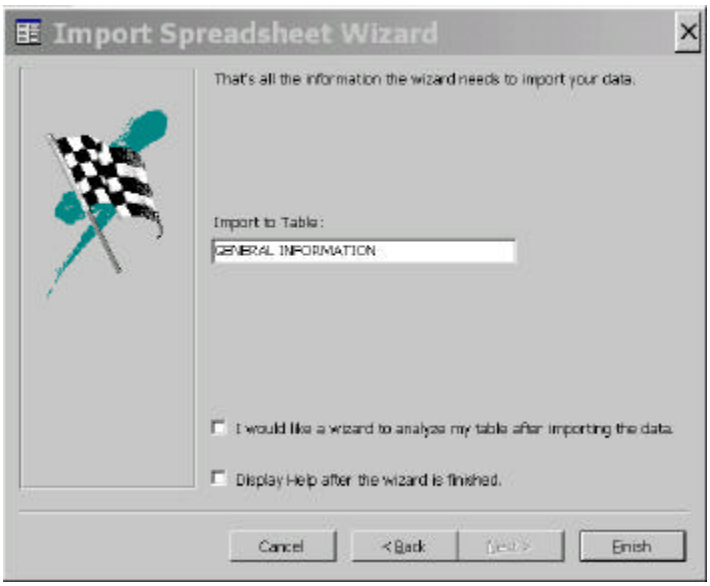
11. Click Next in the following (data specification) window. Changing the *Data Type* will be covered later in this chapter.



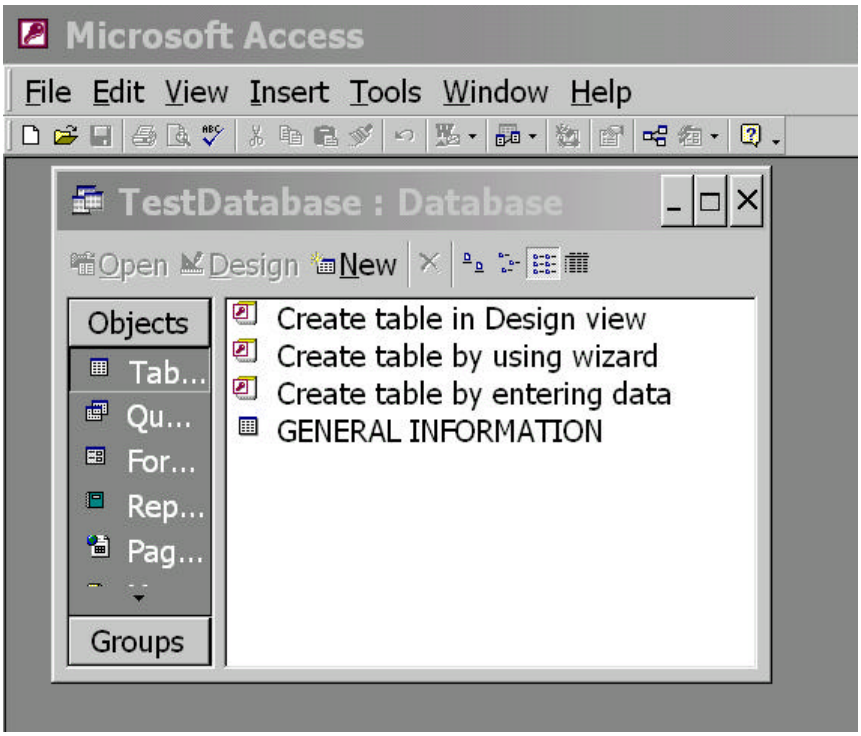
12. Select No primary key from the next window, then click the Next button.



13. Name the table you are importing. The default names are usually sufficient, however you may wish to choose a more specific naming convention. Then click the Finish button.

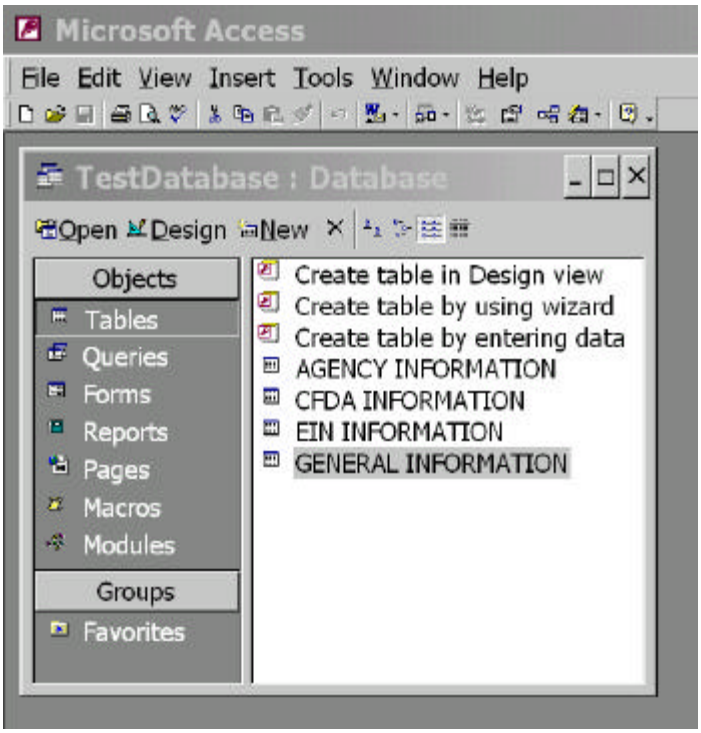


14. The database now contains at least one table. In this case the table is named GENERAL INFORMATION.

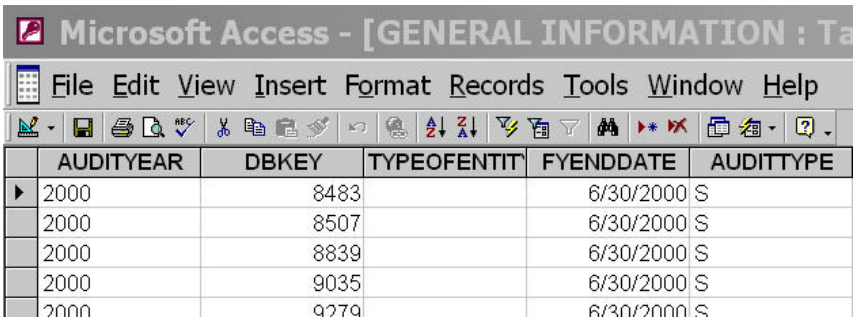


The worksheet import does not allow for any data type specification. For instance if you would like certain columns of numbers to be treated as numeric and not as text characters, then follow these steps to change the data type specification.

1. Open the Microsoft® Access™ database.
2. Open the table by double clicking on the table name.

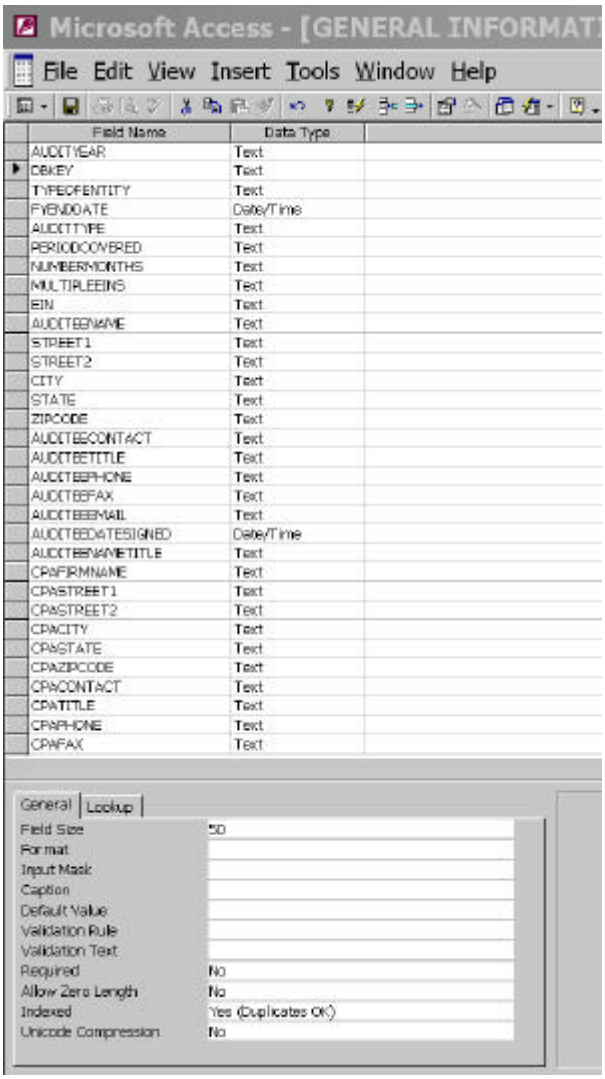


3. Click on the design view icon located on the control toolbar or click on View/Design View from the menu bar.

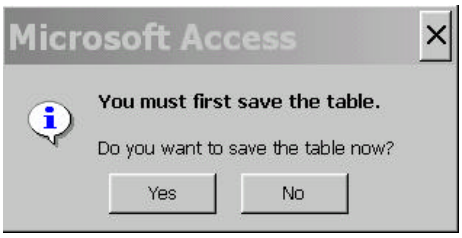


AUDITYEAR	DBKEY	TYPEOFENTIT	FYENDDATE	AUDITTYPE
2000	8483		6/30/2000	S
2000	8507		6/30/2000	S
2000	8839		6/30/2000	S
2000	9035		6/30/2000	S
2000	9279		6/30/2000	S

4. In the following design view window, click on the *Data Type* next to the *Field Name* that you would like to change. Change the Data Type by using the arrow and drop down menu. (Change DBKEY from the "Number" data type to "Text" data type.)

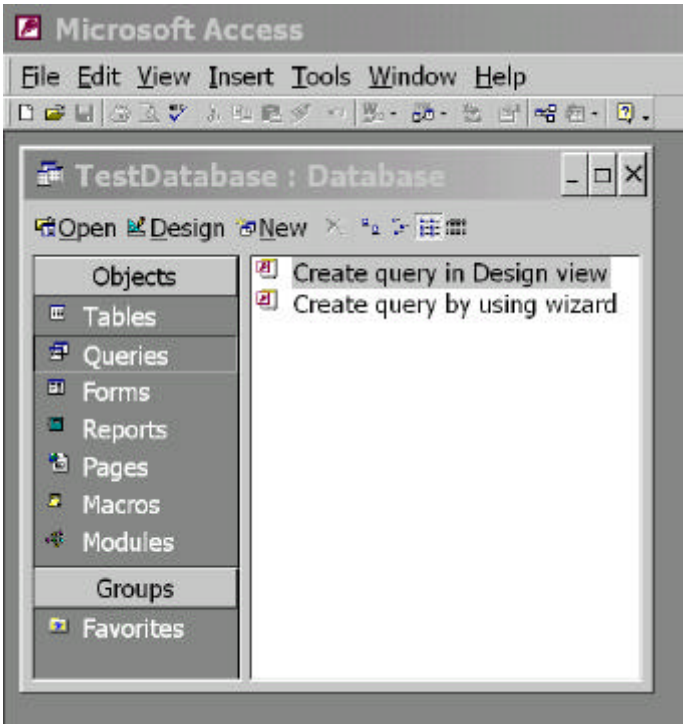


5. Click on the design view icon located on the *control toolbar* or click on View/Datasheet View from the menu bar, to return to the data view. Answer Yes to save your changes to the table or No to cancel the changes.

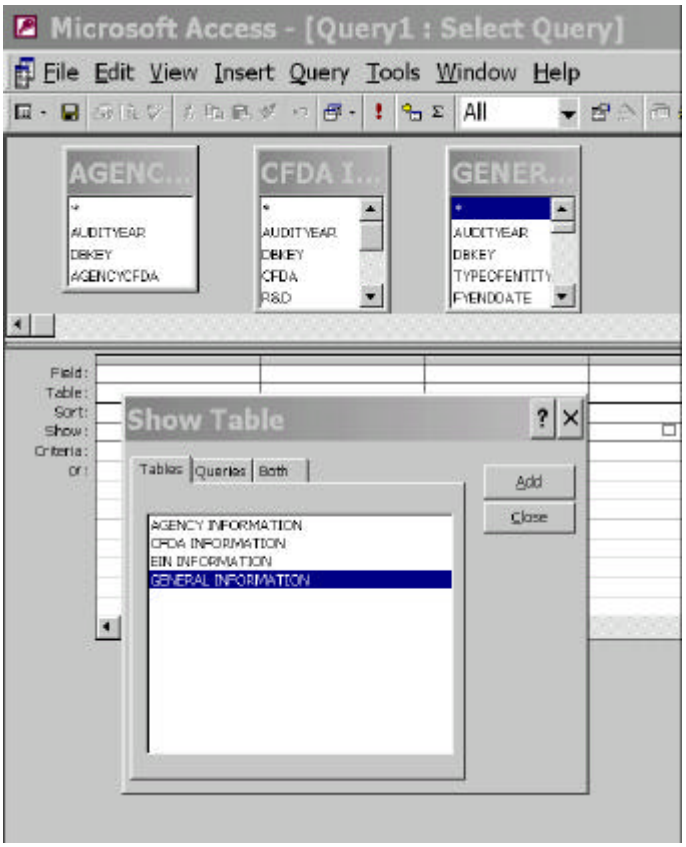


In order to perform queries on multiple tables, you will need to link/join the tables by their primary key, DBKEY/AUDITYEAR. For instance if you would like to find out which entities had program lines for a certain CFDA, you will need to join the GENERAL table and the CFDA table. In addition if you wanted to know who received a copy of the audit, due to the presence of direct findings, then you will need to add the AGENCY tables to the mix. All of these tables are joined by their DBKEY and AUDITYEAR fields. The following instructions will show you how to make the primary key link.

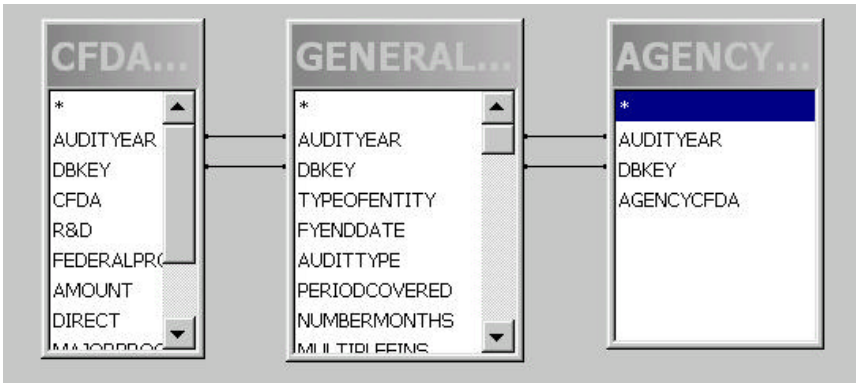
1. Click on Queries from the Object menu. Select Create query in Design view.



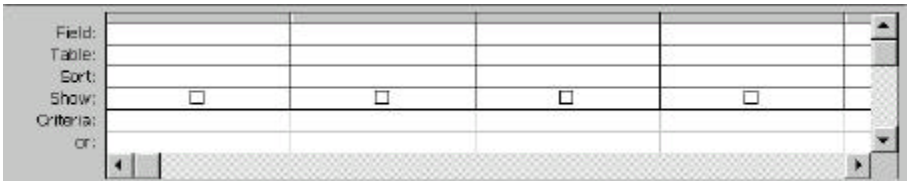
2. Select the tables you would like to link and click the Add button. After you have. Each time you click the Add button the table will be graphically displayed in the "*Relationship*" window. After you have added the tables click the Close button.



3. To join tables, drag the field name from one table and drop it over the same field name in the corresponding table. The result will be a line connecting the fieldnames. Do this for both AUDITYEAR and DBKEY and for all tables that need to be joined.



4. Perform queries using the query grid.



5. Please see your database administrator or other technical staff within your organization for help in preparing and performing queries on the datasets that you have downloaded.

Chapter

5

Contact Information

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http://harvester.census.gov/sac

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